

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Steven M. Blumenau et al.  
 Serial No.: 09/107,618  
 Confirmation No.: 8313  
 Filed: June 30, 1998  
 For: METHOD AND APPARATUS FOR PROVIDING DATA  
 MANAGEMENT FOR A STORAGE SYSTEM COUPLED TO A  
 NETWORK

Examiner: Dinh, Dung C.  
 Art Unit: 2152



## CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to MAIL STOP AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 15<sup>th</sup> day of August, 2006.

Patricia L. Marchetti

## MAIL STOP AMENDMENT

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450  
 Sir:

Transmitted herewith are the following documents:

Information Disclosure Statement, Form PTO 1449, References Cited  
 Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 720-3500, Boston, Massachusetts.

A check in the amount of \$180.00 is enclosed to cover the filing fee. If the fee is insufficient, the balance may be charged to Deposit Account 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,  
*Steven M. Blumenau et al., Applicant*

By:

Richard F. Giunta, Reg. No.: 36,149  
 Wolf, Greenfield & Sacks, P.C.  
 600 Atlantic Avenue  
 Boston, Massachusetts 02210-2211  
 Telephone: (617)720-3500

Docket No. E0295.70066US00  
 Date: August 14, 2006  
 xNDDx



DOCKET NO.: E0295.70066US00

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Patricia L. Marchetti  
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**MAIL STOP AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98**

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

**PART I: Compliance with 37 C.F.R. §1.97**

This Information Disclosure Statement has been filed more than three months after the filing date of this application and after the mailing date of the first Office action, but before the mailing date of any final action under 37 C.F.R. §1.113, a Notice of Allowance under 37 C.F.R. §1.311, or an action that otherwise closes prosecution in this application.

The fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) is enclosed.

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PART II: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references.

PART III: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

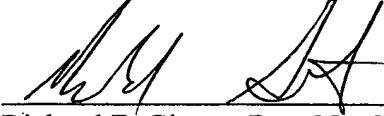
By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,  
*Steven M. Blumenau et al., Applicant*

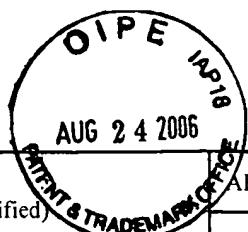
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Boston, Massachusetts 02210-2206  
Telephone: (617) 646-8000

Docket No.: E0295.70066US00

Date: August 14, 2006

xNDDx



FORM PTO-1449/A and B (Modified) <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				APPLICATION NO.: 09/107,618	ATTY. DOCKET NO.: E0295.70066US00
				FILING DATE: June 30, 1998	CONFIRMATION NO.: 8313
				APPLICANT: Steven M. Blumenau et al.	
				GROUP ART UNIT: 2152	EXAMINER: Dinh, Dung C.

Sheet 1 of 1

#### U.S. PATENT DOCUMENTS

Examiner's Initials #	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or Issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
	A1	4,652,990	B1	Pailen et al.	03-24-1987
	A2	5,598,470	B1	Cooper et al.	01-28-1997
	A3	5,727,146	B1	Savoldi et al.	03-10-1998
	A4	5,867,686	B1	Conner et al.	02-02-1999
	A5	5,941,947	B1	Brown et al.	08-24-1999
	A6	6,026,293	B1	Osborn	02-15-2000
	A7	6,061,794	B1	Angelo et al.	05-09-2000
	A8	6,075,860	B1	Ketcham	06-13-2000
	A9	6,205,145	B1	Yamazaki	03-20-2001
	A10	6,219,771	B1	Kikuchi et al.	04-17-2001
	A11	6,263,445	B1	Blumenau	07-17-2001
	A12	6,343,324	B1	Hubis et al.	01-29-2002
	A13	2002/0083339	A1	Blumenau et al.	06-27-2002
	A14	6,684,209	B1	Ito et al.	01-27-2004

#### FOREIGN PATENT DOCUMENTS

Examiner's Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document (not necessary)	Date of Publication of Cited Document MM-DD-YYYY	Translation (Y/N)
		Office/ Country	Number	Kind Code			
	B1	EP	0 456 920	A2	IBM	11-21-1991	
	B2	WO	99/13448	A2	Sun Microsystems, Inc.	03-18-1999	
	B3	WO	02/08870	A	Dickenson	01-31-2002	

EXAMINE R

DATE CONSIDERED

#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

\*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. \_\_\_, filed \_\_\_, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - The Office hereby waives the requirement under 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC 371 after June 30, 2003. See 37 CFR 1.491(b). For all patent applications filed on or before June 30, 2003, copies of cited U.S. patents and patent application publications are still required unless an eIDS is filed. Copies of all other patent(s), publication(s), or other information listed must still be provided, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]